



# RECORDS RETENTION SCHEDULE APPROVAL REQUEST

STD. 72 (REV. 2-96) (AUTOMATED)

|   |   |   |
|---|---|---|
| (1) DEPARTMENT, BOARD OR COMMISSION<br><u>Developmental Servs., Com. Servs. Div., Regional</u>  |   |   |
| DIVISION, BUREAU OR OTHER UNIT<br><u>Ctr. Branch, Health Facility Program Section</u>   |   |   |
| ADDRESS<br><u>1600 9th Street, Room 320, Sacramento, CA 95814</u>   |   |   |
| CHECK THE APPROPRIATE BOX   |   |   |
| (2) <input type="checkbox"/> New schedule of records that have never been scheduled. (Complete boxes 5 - 8.)  |   |   |
| (3) <input checked="" type="checkbox"/> Revising a previous schedule. (Complete boxes 5 - 12.) A new approval number will be assigned.)                 |   |   |
| (4) <input type="checkbox"/> Amending some pages of a previous schedule. (Complete boxes 8 - 12.) (The original approval number will remain in effect.) |   |   |
| (6) SCHEDULE DATE<br><u>12/17/97</u>  | (7) NUMBER OF PAGES<br><u>4</u>         | (8) CUBIC FEET (Total Schedule)<br><u>41</u>    |
| (10) APPROVAL NUMBER<br><u>91-175</u>   | (11) APPROVAL DATE(S)<br><u>7/30/91</u> | (12) PAGE NUMBER(S) REVISED<br><u>1 &amp; 2</u> |


TO: DEPARTMENT OF GENERAL SERVICES  
OFFICE OF INFORMATION SERVICES  
1500 5th Street, Room 116  
Sacramento, CA 95814 (or IMS C-39)

(916) 445-2294 or CALNET 485-2294

| NEW SCHEDULE INFORMATION<br>(If applicable)      | (5) SCHEDULE NUMBER | (9) SCHEDULE NUMBER | (10) APPROVAL NUMBER | (6) SCHEDULE DATE | (7) NUMBER OF PAGES | (8) CUBIC FEET (Total Schedule) |
|--|---------------------|---------------------|----------------------|-------------------|---------------------|---------------------------------|
| PREVIOUS SCHEDULE INFORMATION<br>(If applicable) | 97-18               | (9) SCHEDULE NUMBER | (10) APPROVAL NUMBER | 12/17/97          | 4                   | 41                              |
|  | 91-42               |                     | 91-175               |                   | 7/30/91             | 1 & 2                           |


**PART I--AGENCY STATEMENTS**

As the program manager (or person authorized to sign for the program manager) directly responsible for the records listed on the attached schedule, I certify that all records are listed, that I have reviewed the need for the records (per Section 1611 of the State Administrative Manual), that each retention period is necessary and correct as scheduled, and (for a revised schedule) that all items on the previous schedule have been accounted for.

|   |                                     |                                    |
|---|-------------------------------------|------------------------------------|
| (13) SIGNATURE--MANAGER/DIRECTOR RESPONSIBLE FOR THE RECORDS<br> | (14) TITLE<br><u>Branch Manager</u> | (15) DATE SIGNED<br><u>1-12-98</u> |
|---|-------------------------------------|------------------------------------|

In accordance with Government Code 14755, approval of the attached Records Retention Schedule by the Department of General Services is hereby requested. Retention periods have been established by this agency after a careful evaluation of all the factors listed in Section 1667 of the State Administrative Manual.

I hereby certify that I am authorized to act on behalf of the head of this agency in matters pertaining to the retention and disposal of records. (Per Section 1611 of the State Administrative Manual.)

|  |   |  |                                    |
|--|---|--|------------------------------------|
| (16) SIGNATURE--RECORDS MANAGEMENT ANALYST<br> | (17) TITLE<br><u>Records Management Analyst</u> | (19) TELEPHONE NUMBER<br><u>(916) 654-2869/CALNET 464-2869</u> | (20) DATE SIGNED<br><u>1-13-98</u> |
| (18) NAME (Printed or Typed)<br><u>Delmira Rosas-Petit</u>   |   |  |                                    |
| <b>PART II--DEPARTMENT OF GENERAL SERVICES APPROVAL (Per Government Code Section 14755)</b>                                    |   |  |                                    |
| (21) SIGNATURE--OIS CONSULTANT<br><u>Kenneth M. Hutteny</u>  | (22) APPROVAL NUMBER<br><u>98.029</u>           |  |                                    |
| (23) TITLE<br><u>Records Management Consultant</u>   | (24) DATE SIGNED<br><u>1-30-98</u>              |  |                                    |
| <b>PART III--ARCHIVAL SELECTION (Per Government Code Section 14755)</b>  |   |  |                                    |

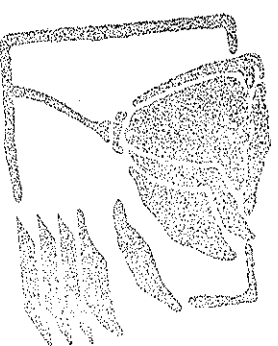
**FOR ARCHIVES USE ONLY****THE ATTACHED RECORDS RETENTION SCHEDULE:**

- (25) ☐ Contains no material subject to further review by the California State Archives.

- (26) ☒ Contains material subject to archival review. Items stamped "TRANSFER TO ARCHIVES" may not be destroyed without clearance by the Secretary of State. (Per Section 1614 of the State Administrative Manual.)

(27) SIGNATURE--DIRECTOR, STATE ARCHIVES AND MUSEUM

(28) DATE SIGNED

2/20/98

CALIFORNIA  
STATE ARCHIVES

STATE OF CALIFORNIA  
RECORDS RETENTION SCHEDULE

STD 73 (REV 5-90)

See instructions in SAM 1600

|  |   |                      |
|--|---|----------------------|
| DEPARTMENT (1)<br>Developmental Services   | SCHEDULE NUMBER (2)<br>97-18                                    | DATE (3)<br>12/17/97 |
| ORGANIZATIONAL UNIT<br>Community Services Division,<br>Regional Center Branch, Health Facility Program Section | PAGE<br>1   | OF<br>4 PAGES (4)    |
| ADDRESS (number, street, city)<br>1600 9th Street, Room 320, Sacramento  | DEPARTMENT OF GENERAL SERVICES APPROVAL<br>NUMBER (5)<br>98-029 |                      |

| ITEM NO.<br>(6) | CUBIC FEET<br>(7) | CALIFORNIA STATE ARCHIVES USE ONLY<br>(8) | TITLE AND DESCRIPTION OF RECORDS<br>(9)  | MEDIA<br>(10) | VITAL<br>(11) | RETENTION      |              |             |               | PRA (Exempt) & IPA<br>(16) | REMARKS<br>(17)   |
|-----------------|-------------------|---|--|---------------|---------------|----------------|--------------|-------------|---------------|----------------------------|---|
|                 |                   |   |  |               |               | OFFICE<br>(12) | DEPT<br>(13) | SRC<br>(14) | TOTAL<br>(15) |                            |   |
| 1.              | .4                | Hold / Notify Archives                    | Mission Statement: Manage crises related to the closure, or threatened closure, of residential programs.   | P             |               | 5 yrs.         |              |             | 5 yrs.        |                            | Retention Criteria: Branch Manager policy, unless otherwise noted.    |
| 2.              | .4                | Hold / Notify Archives                    | Facility Alerts/Closures (Includes information and correspondence on facilities either closed or in danger of closing.)  | P             |               | 3 yrs.         |              |             | 3 yrs.        |                            | Destruction: confidential shred.                                      |
| 3.              | .16               | Hold / Notify Archives                    | Intermediate Care Facilities (Includes Correspondence, historical, Information/Training Materials and Statistics.)   | P             |               | Active +2      |              |             | Active +2     |                            | Destruction: non-confidential   |
| 4.              | 36.66             | Hold / Notify Archives                    | Regulations (Includes but not limited to Alternative Rate Model Regulations, Intermediate Care Facility/Developmentally Disabled Regulations, etc.)  | P             |               | Active         |              |             | Active        |                            | Active until adopted, then retain for 2 years                         |
| 5.              | .16               |   | Intermediate Care Facilities/Developmentally Disabled (DD), DD-Habilitative, DD-Nursing - Individual files for each facility include but not limited to facility program plan, approval letters, resumes, medical licenses, etc.)* | P             |               | Active         |              |             | Active        | XI                         | Active until facility closed. Destruction: confidential shred         |
| 6.              | .13               |   | Personnel Documents (Includes but not limited to Individual Development Plans and Adverse Actions.):**   | P             |               | Active         |              |             | Active        |                            | Active until employee separates and then give to employee or destroy. |
|                 |                   |   | Chronos  | P             |               | 3              |              |             | 3             |                            | Destruction: Confidential shred.                                      |
|                 |                   |   |  |               |               |                |              |             |               |                            | Destruction: non-confidential   |

\*Exempt from disclosure to the public per PRA, section 6254 (c,k). Data subject may access per IPA, section 1798.34.

\*\*Exempt from disclosure to the public per the Public Records Action, section 6254 (c,k). Data subject may access per the Information Practices Act, Section 1798.34. (employees). Information and records shall be disclosed only in cases stated in Welfare and Institutions Code, Section 4514 (clients).

## STD 73 (REV 5-90)

|   |   |                      |
|---|---|----------------------|
| DEPARTMENT (1)<br>Developmental Services  | SCHEDULE NUMBER (2)<br>97-18                                    | DATE (3)<br>12/17/97 |
| ORGANIZATIONAL UNIT Community Services Division,<br>Regional Center Branch, Health Facility Program Section | PAGE 2 OF 4 PAGES (4)   |                      |
| ADDRESS (number, street, city)<br>1600 9th Street, Room 320, Sacramento                                     | DEPARTMENT OF GENERAL SERVICES APPROVAL<br>NUMBER (5)<br>98-029 |                      |

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STATE OF CALIFORNIA  
RECORDS RETENTION SCHEDULE

STD 73 (REV 5-90)

See instructions in SAM 1600

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| ORGANIZATIONAL UNIT<br>Community Services Division,<br>Regional Center Branch, Health Facility Program Section | PAGE 3 OF 4 PAGES (4)   |                      |
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| ITEM<br>NO.<br><br>(6) | CUBIC<br>FEET<br><br>(7) | CALIFORNIA<br>STATE<br>ARCHIVES<br>USE ONLY<br><br>(8) | TITLE AND DESCRIPTION OF RECORDS<br><br>(9)  | MEDIA<br><br>(10) | VITAL<br><br>(11) | RETENTION      |              |             |               | PRA<br>(Exempt)<br>& IPA<br><br>(16) | REMARKS<br><br>(17) |
|------------------------|--------------------------|--|--|-------------------|-------------------|----------------|--------------|-------------|---------------|--------------------------------------|---------------------|
|                        |                          |  |  |                   |                   | OFFICE<br>(12) | DEPT<br>(13) | SRC<br>(14) | TOTAL<br>(15) |                                      |                     |
|                        |                          |  | <p>Discontinued record items from previous schedule (previous name of organizational unit was Community Living Arrangements Section):</p> <p>Item 1 - Administration - Includes but not limited to Training plans, travel reports. Records maintained in Regional Center Monitoring Section.</p> <p>Item 2 - Alternative Residential Model - Includes, but not limited to Information/Training materials, Policies, Statistics, etc. Records maintained in Residential Services Section.</p> <p>Item 4 - Fiscal/Rates - Includes but not limited to Audits, Budget Change Proposals, Cost Studies, Rate Exceptions, etc. Records maintained in Residential Services Section.</p> <p>Item 6 - Legal/Legislative - Includes but not limited to Bills, Legislative Reports, etc. Records maintained in Training &amp; Quality Assurance Section.</p> <p>Item 8 - Organizations/Agencies - Includes but not limited to California Association of Health Facilities, Department of Health Services, Health and Welfare Agency, etc. Maintained in Regional Center Monitoring Section.</p> |                   |                   |                |              |             |               |                                      |                     |

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| ORGANIZATIONAL UNIT Community Services Division,<br>Regional Center Branch, Health Facility Program Section |  | PAGE 4 OF 4 PAGES (4)   |                      |
| ADDRESS (number, street, city)<br>1600 9th Street, Room 320, Sacramento                                     |  | DEPARTMENT OF GENERAL SERVICES APPROVAL<br>NUMBER (5)<br>98-029 |                      |

| ITEM<br>NO.<br>(6) | CUBIC<br>FEET<br>(7) | CALIFORNIA<br>STATE<br>ARCHIVES<br>USE ONLY<br>(8) | TITLE AND DESCRIPTION OF RECORDS<br>(9)  | MEDIA<br>(10) | VITAL<br>(11) | RETENTION      |              |             |               | PRA<br>(Exempt)<br>& IPA<br>(16) | REMARKS<br>(17) |
|--------------------|----------------------|--|--|---------------|---------------|----------------|--------------|-------------|---------------|----------------------------------|-----------------|
|                    |                      |  |  |               |               | OFFICE<br>(12) | DEPT<br>(13) | SRC<br>(14) | TOTAL<br>(15) |                                  |                 |
|                    |                      |  | <p>Item 9 - Pilots/Special Projects - Includes but not limited to Brain Injured, Housing, Professional Parent, etc. Maintained in Training &amp; Quality Assurance Section.</p> <p>Item 10 - Regional Centers - Includes but not limited to Alta California Regional Center, Far Northern Regional Center, Golden Gate Regional Center, etc. Maintained in Regional Center Monitoring Section.</p> <p>Item 12 - Residential Service provider Training Curriculum - Includes but not limited to General, Contracts, Requests for Certificates, etc. Maintained in Training &amp; Quality Assurance Section.</p> |               |               |                |              |             |               |                                  |                 |